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# SB1 Workshop

PART 4  
AGREEMENTS AND ALLOCATIONS

PRESENTED BY WINTON EMMETT  
CHIEF, OFFICE OF IMPLEMENTATION NORTH

November 2018



CALTRANS DIVISION OF  
LOCAL ASSISTANCE

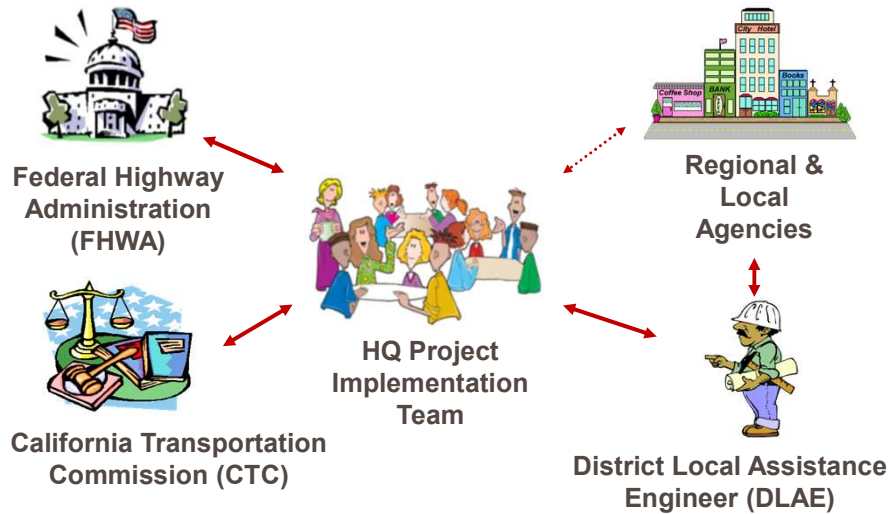
## AGREEMENTS, ALLOCATIONS, AUTHORIZATIONS



CALTRANS DIVISION OF  
LOCAL ASSISTANCE



## Roles & Responsibilities



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## Local Assistance Quick Facts for California

- At any time there are about 5,000 “Active Projects” among 680 agencies
- These Active Projects represent \$16 billion in total funding
- Annually
  - Originally 200 Allocations, now with SB1 we anticipate 400 Allocations per year
  - 2,000 Federal Authorizations
  - 7,000 Progress Invoices

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## Topics

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- Local Assistance Agreements
- CTC Allocation Overview & Process
- Federal Authorization Overview & Process
- Best Practices, Heads Up, What's Next

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## Local Assistance Agreements

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### Agreement between State & Local Agency

- **MA:** Master Agreements – Federal & State
- **PSA:** Program Supplement Agreement

#### Check Process

✓ **Agreements:** Local Assistance Procedures Manual (LAPM)

**Note:** Not all Master Agreements can be used across Local Assistance and Division of Rail & Mass Transportation. Call Patrick Olsen (916) 651-6825 for details.

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## What is a Master Agreement (MA)?

An agreement between a city, county, or other local public agency and the State that defines general terms and conditions. There are two types:

- Federal-aid Highway Program
- State-only Funded Projects

### **MUST HAVE:**

- ✓ Project adopted into program before MA
- ✓ Executed MA prior to 1<sup>st</sup> project Allocation/Authorization

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## Sample MA: State Funded Project

### **MASTER AGREEMENT**

#### **ADMINISTERING AGENCY - STATE AGREEMENT FOR STATE FUNDED PROJECTS**

District 05  
Agreement No. 000087  
City of Pacific Grove  
Administering Agency

THIS AGREEMENT, made effective this 13th day of May, 2002, is by and between the City of Pacific Grove, hereinafter referred to as 'ADMINISTERING AGENCY,' and the State of California, acting by and through its Department of Transportation, hereinafter referred to as 'STATE.'

#### **WITNESSETH**

WHEREAS, the Legislature of the State of California has enacted legislation by which certain State funds are made available for use on local transportation facilities; and

WHEREAS, ADMINISTERING AGENCY has applied to the California Transportation Commission (CTC) and/or STATE for funding from the STATE Transportation Improvement Program (STIP), or other programs, as defined in the *Local Assistance Program Guidelines* for use on local transportation facilities as local administered PROJECT(s), hereinafter referred to as "PROJECT"; and

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## Sample MA: Federal-Aid Project

**MASTER AGREEMENT**  
ADMINISTERING AGENCY-STATE AGREEMENT FOR  
FEDERAL-AID PROJECTS

UNFORMED COPY

08 City of La Quinta

District      Administering Agency

Agreement No. 08-5433R

This AGREEMENT, is entered into effective this 31<sup>ST</sup> day of OCTOBER, 2006, by and between the City of La Quinta, hereinafter referred to as "ADMINISTERING AGENCY," and the State of California, acting by and through its Department of Transportation (Caltrans), hereinafter referred to as "STATE, and together referred to as "PARTIES" or individually as a "PARTY."



## MA Timing

- Have MA but need update? **No Problem!**
  - HQ will send out updated MA

### CHALLENGES

- New Agency, No MA:
  - Takes time! **6-12 months** - Delay project start date
  - Request initiation
  - Pre-award audit
  - Possible corrective actions from findings
  - MA & Locode processing



- ✓ Extensive Federal & State Requirements



## MA Timing

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### SOLUTIONS

- Partner w/agency that has existing MA
- Be aware of MA timeframes
- Plan projects accordingly
  
- ✓ Review & know resources
  - MA Language
  - Local Assistance Procedures Manual (LAPM)
  - Local Assistance Program Guidelines (LAPG)



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## What is a Program Supplement Agreement (PSA)?

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An Agreement between Local Agency & State, which amends the Master Agreement to describe the phases, costs, and special conditions, that apply to a specific projects.

- One per project
- Timing
- Contacts

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## Sample: PSA

PROGRAM SUPPLEMENT NO. N137 to ADMINISTERING AGENCY-STATE AGREEMENT FOR FEDERAL-AID PROJECTS NO 07-5552R		Adv Project ID 071300C245		Date: June 21, 2013 Location: 07-VEN-0-CR Project Number: STPL-5952(155) E.A. Number: Locode: 5952
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This Program Supplement hereby adopts and incorporates the Administering Agency-State Agreement for Federal Aid which was entered into between the Administering Agency and the State on 03/08/07 and is subject to all the terms and conditions thereof. This Program Supplement is executed in accordance with Article 1 of the aforementioned Master Agreement under authority of Resolution No. 412 approved by the Administering Agency on 02/06/2007 (See copy attached).

The Administering Agency further stipulates that as a condition to the payment by the State of any funds derived from sources noted below obligated to this PROJECT, the Administering Agency accepts and will comply with the special covenants or remarks set forth on the following pages.

**PROJECT LOCATION:**  
Intersection of Rice Ave. and Wooley rd.

**TYPE OF WORK:** Traffic signal replacement, installation of pavement markers and type D detector loops for bike detec **LENGTH: 0.0(MILES)**

Estimated Cost	Federal Funds		Matching Funds	
	L23R		LOCAL	OTHER
\$189,750.00		\$167,985.00	\$21,765.00	\$0.00

COUNTY OF VENTURA

By *[Signature]*  
Title *DIRECTOR, TRANSPORTATION*

STATE OF CALIFORNIA  
Department of Transportation  
By *[Signature]*  
Chief, Office of Project Implementation  
Division of Local Assistance

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## Reminder: Cooperative (Coop) Agreement

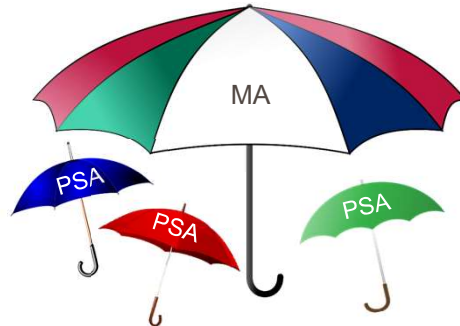
- Required for projects on the State Highway System (SHS)
- Outlines Local Agency/State roles, responsibilities, and commitments
- Must be fully executed before beginning any reimbursable work or exchanging funds
- **Additional SB1 Language:**
  - Completion Reports
  - Accountability and Transparency Guidelines
  - Cost increases must come from non-SB1 funds
  - Project changes require CTC approval
  - Program Specific Guidelines
  - Baseline Agreements

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## RECAP: Agreements

MA: **1** per Agency

PSA: **1** per Project



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## REMEMBER...

A local agency will NOT be paid, *unless* they have a **fully executed** MA & PSA.







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## State Allocations



### What are the State Funding Programs?

-  Active Transportation Program (ATP)
-  Local Partnership Program (LPP)
-  Solutions for Congested Corridors (SCCP)
-  Trade Corridors Enhancement Program (TCEP)

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## When Can an Agency Request an Allocation?



- After funds for project or project component are programmed in the Big 5.
- During the State Fiscal Year in which those funds are programmed.
- When ready to begin reimbursable work.
- Before awarding a contract.
- 7 weeks before the actual CTC vote takes place!!!

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# CTC Meeting Prep Schedule

[dot.ca.gov/hq/transprog/ctcliaison.htm](http://dot.ca.gov/hq/transprog/ctcliaison.htm)

2018 PREPARATION SCHEDULE  
CALIFORNIA TRANSPORTATION COMMISSION (CTC) MEETINGS  
AGENDA ITEM(S) DUE DATES

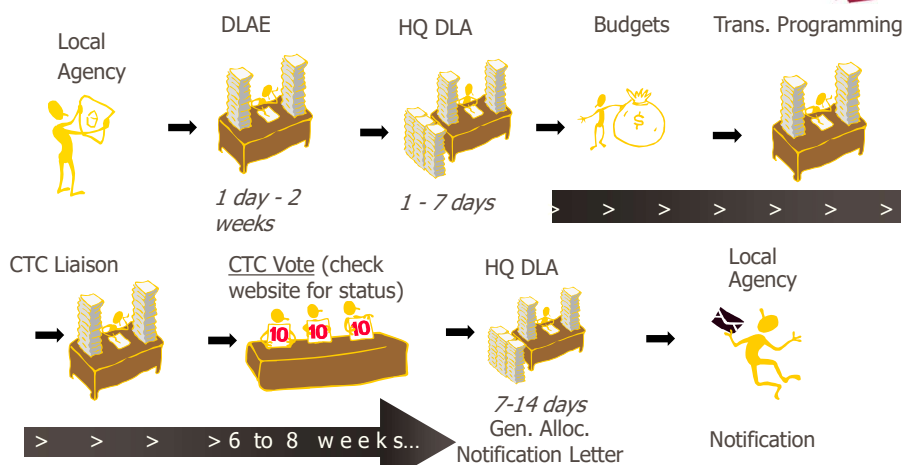
Prepared by:  
OFFICE OF CTC LIAISON  
DIVISION OF TRANSPORTATION PROGRAMMING  
CALIFORNIA DEPARTMENT OF TRANSPORTATION  
<http://www.dot.ca.gov/hq/transprog/ctcliaison.htm>  
Effective:  
September 2017

2018 California Transportation Commission (CTC) Meeting Schedule	Local Agency Submits Off System Funds Requests, Program Amendments, and Time Extensions to Caltrans Districts (and CTC Staff for Prop 116 Rail)	District Submits Off System and On System Requests to HQ Divisions	HQ Divisions Submit Final Off System and On System Requests to Budgets	Final Agenda Language Due From HQ Divisions to Office of CTC Liaison	Final Book Items Due from HQ Divisions to Office of CTC Liaison
Date and Location:	10:00 AM District & CTC	10:00 AM HQ Divisions/ Funds Request email	5:00 PM Budgets	10:00 AM CTC Liaison	10:00 AM CTC Liaison
Jan 31 - Feb 1 - Sacramento Area	Mon, Dec 4, '17	Mon, Dec 11, '17	Mon, Dec 18, '17	Thu, Dec 28, '17	Thu, Jan 4, '18
March 21-22 - Los Angeles	Mon, Jan 22, '18	Mon, Jan 29, '18	Mon, Feb 5, '18	Wed, Feb 14, '18	Thu, Feb 22, '18
May 16-17 - San Diego	Mon, Mar 19, '18	Mon, Mar 26, '18	Mon, Apr 2, '18	Wed, Apr 11, '18	Thu, Apr 19, '18
June 27-28 - Sacramento Area	Mon, Apr 30, '18	Mon, May 7, '18	Mon, May 14, '18	Wed, May 23, '18	Thu, May 31, '18
August 15-16 - San Francisco	Mon, Jun 18, '18	Mon, Jun 25, '18	Mon, Jul 2, '18	Wed, Jul 11, '18	Thu, Jul 19, '18
October 17-18 - Central Valley	Mon, Aug 20, '18	Mon, Aug 27, '18	Tue, Sep 4, '18	Wed, Sep 12, '18	Thu, Sep 20, '18
December 5-6 - Riverside	Mon, Oct 8, '18	Mon, Oct 15, '18	Mon, Oct 22, '18	Wed, Oct 31, '18	Thu, Nov 8, '18

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## Allocation Processing Time



**Follow CTC Meeting schedule deadlines!!!**

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## Allocation Submittals: E&P (aka PA&ED)



\* Recently Released – New Dynamic Allocation Form

“Funding Allocation Request Data Form” at:

<http://www.dot.ca.gov/hq/LocalPrograms/forms/>

- Funding Allocation Checklist, Exhibit 22-N or 23-N
- Request for Allocation, Exhibit 22-O or 23-O
- Finance Letter, Exhibit 22-C, 23-C, or 3-O
- Programming Info, FTIP, CTIPS, ATP, SB1, etc.
- Project Programming Request Form and Funding Information, Exhibit 22-G or 23-G/H
- *Program Specific Requirements*
- Subject to Timely Use of Funds

\*\*Federal PE phase = State E&P/PA&ED and PS&E components\*\*

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## RTPA/MPO Concurrence



Division of Local Assistance	Page 3 of 3	Funding Allocation Request Data Form
<p><b>4. REQUEST FOR ADVANCE OF FUNDING</b></p> <p>Is this request for funding programmed in a future Fiscal Year? <span style="border: 1px solid black; padding: 2px;">No</span></p> <p>Provide justification below if yes.</p> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>		
<p><b>5. ESTIMATED TIMELY USE OF FUNDS DEADLINES</b></p>		
<p><b>6. RTPA/MPO CONCURRENCE</b></p> <p>The RTPA must sign the “Request for Funding Allocation” form if any of the below applies:</p> <p><input type="checkbox"/> Will this request change the project description, scope, exceed the amount programmed, or require an advance?</p> <p><input type="checkbox"/> Has the RTPA/MPO passed a resolution requiring their concurrence on all requests for funding allocations?</p>		

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## Allocation Submittals: PS&E and R/W

Same as E&P, but includes:

- CEQA document type and approval date
  - Non-exempt Projects: Local Agency submits final environmental document, directly to the CTC
- NEPA document, if federalized
- *Program Specific Requirements*
- Subject to Timely Use of Funds

\*\*Federal PE phase = State E&P/PA&ED and PS&E components\*\*

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## Construction Allocation Submittals

Same as PS&E and R/W, but also includes:

- Date of Right of Way Certification (State)
- Right of Way Certification (Federal)
- Engineer's Detailed Estimate
- *Program Specific Requirements*
- Subject to Timely Use of Funds

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## Other Allocation Requests



- **SB 184:** STIP, short term, within the SFY
- **AB 3090:** STIP, longer term
- **LONP:** Letter of No Prejudice, SB1

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For more information, please contact your District Local Assistance Engineer.

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[Tifini.Tran@dot.ca.gov](mailto:Tifini.Tran@dot.ca.gov)

Visit the Caltrans Local Assistance SB1 Website at  
<http://www.dot.ca.gov/hq/LocalPrograms/SB1/>

